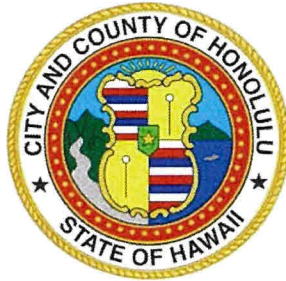


DISADVANTAGED BUSINESS ENTERPRISE PROGRAM PLAN

REV. 2.0, JULY 30, 2021



Department of Transportation Services
City and County of Honolulu

 OCT - 6 2021

J. Roger Morton Date
Director of Transportation Services

 Digitally signed by Christopher
R. Clark
Date: 2021.10.05 13:40:01 -10'00'

Chris Clark (DBELO) Date
Chief Planner, Transportation Performance
and Development Division

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Renee
Date: 2021.10.05 11:53:42 -10'00'

Renee Yamasaki Date
Document Preparer

REVISIONS

Modification to this document will be made with any substantial changes to the plan and will be submitted to the FTA for approval, if applicable and will be noted in the Document Change History below.

DOCUMENT CHANGE HISTORY			
REVISION	DATE	SECTION(S)	DESCRIPTION
1.0	August 1, 2019	Record keeping requirements and monitoring and enforcement mechanisms	Revision of document based on 2018 Triennial Review findings.
2.0	July 30, 2021	Policy statement, bidders list, prompt payment mechanisms, fostering small business participation, failure to meet overall goals, transit vehicle manufacturer's goal, and good faith efforts	Revision of document based on FTA's June 24, 2021 letter regarding Program Update – Significant Changes.

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**DEPARTMENT OF TRANSPORTATION SERVICES
DISADVANTAGED BUSINESS ENTERPRISE
POLICY STATEMENT
May 7, 2021**

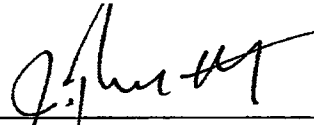
The Department of Transportation Services (DTS) has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the United States Department of Transportation (USDOT), Title 49, Code of Federal Regulations, Part 26 (49 CFR Part 26). DTS receives federal financial assistance from USDOT, and as a condition of receiving this assistance, DTS signed an assurance with the USDOT that it will comply with 49 CFR Part 26.

It is the policy of DTS to ensure that DBEs as defined in 49 CFR Part 26 have an equal opportunity to receive and participate in USDOT-assisted contracts. It is also the policy of DTS to:

1. Ensure non-discrimination in the award and administration of USDOT-assisted contracts;
2. Create a level playing field on which DBEs can compete fairly for USDOT-assisted contracts;
3. Ensure that the DBE program is narrowly-tailored in accordance with applicable law;
4. Ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are permitted to participate as DBEs;
5. Help remove barriers to the participation of DBEs in USDOT-assisted contracting;
6. Assist in the development of firms that can compete successfully in the market place outside the DBE program.

As DTS' Director, I am responsible for the implementation of this policy and program. I have appointed Mr. Christopher Clark as DTS' DBE Liaison Officer (DBELO). Mr. Clark is designated with the authority and overall responsibility to implement DTS' DBE program on a day-to-day basis. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by DTS in its financial assistance agreements with USDOT.

This policy statement is placed on employee bulletin boards at DTS' various work sites and website and disseminated to the Department of Budget and Fiscal Services and to DBE and to non-DBE business communities that perform work for DTS on USDOT-assisted contracts by including in all contract provisions for federal aid projects.



J. Roger Morton, Director
Department of Transportation Services

DEFINITIONS

DTS will adopt the definitions contained in 49 CFR Section 26.5 for this program.

ASSURANCES

DTS shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any USDOT assisted contract or in the administration of its Disadvantaged Business Enterprise (DBE) Program (Program) or the requirements of 49 CFR Part 26. DTS shall take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of USDOT assisted contracts. The Program, as required by 49 CFR Part 26 and as approved by USDOT, is incorporated by reference in this agreement. Implementation of this Program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to DTS of its failure to carry out its approved program, the Department may impose sanctions as provided for under Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).

This language will appear in financial assistance agreements with sub-recipients.

Contract assurance

DTS will ensure that the following clause is placed in every USDOT-assisted contract and subcontract:

The contractor, sub-recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of USDOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate.

The DBELO or designate shall be present at the pre-bid meetings to fully explain contractors' responsibilities and DTS' expectations regarding the Program. Emphasis will be put on the prime's responsibilities for all sub-contractors.

PROGRAM ADMINISTRATION

Applicability 49 CFR Section 26.3

The Program shall apply to contracts awarded subject to USDOT DBE regulations 49 CFR Part 26.

Non-discrimination 49 CFR Section 26.7

DTS will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and

performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

In administering its Program, DTS will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the Program with respect to individuals of a particular race, color, sex, or national origin.

Record keeping requirements 49 CFR Section 26.11

DTS will report DBE participation to USDOT as follows:

In accordance with the Federal Transit Administration (FTA) requirements, the Uniform Report of DBE Awards/Commitments and Payments (Reports) (Attachment A) will be compiled and electronically submitted in the FTA Transit Award Management System (TrAMS) on a semi-annual basis. In compliance with Appendix B to 49 CFR Part 26 "Instructions for Completing the Uniform Report of DBE Awards/Commitments and Payments" (Attachment B) and in collaboration with project managers (PM), the DTS DBE Coordinator will ensure the Reports information and data are accurate and correct. The Report will include the Federal share of all FTA-funded prime and subcontract awards or commitments (DBE and non-DBE), payment information, and completed contracts. The subrecipient award data will be collected and included in the Reports. The reported award amounts will accurately reflect any change orders, if applicable. Vehicle procurements are not included. DTS is also responsible for reviewing Honolulu Authority for Rapid Transportation's (HART) report and will submit their report in TrAMS. Reports will be reviewed and approved by the Programming and Support Branch Chief.

Bidders list 49 CFR Section 26.11(c)

The City and County of Honolulu (CCOH) may use a Bidders List to calculate DTS' three-year overall and individual contract goals for FTA-assisted projects. The Instructions for DBE Participation in USDOT Contracts document includes a Bidder Registration Form (Attachment C). All contractors, subcontractors, consultants, vendors, suppliers, manufacturers, truckers, and others who bid or participate in the project are required to complete this form and return it with the other federal solicitation forms to the Department of Budget and Fiscal Services (BFS). BFS shall transmit the completed forms to DTS. DTS will collect this information on a spreadsheet for internal use only. The collection of the Bidder Registration Form will help CCOH collect information on all DBE and non-DBE firms that bid or quote on USDOT-assisted contracts. CCOH may also use the Bidders List compiled by BFS, Purchasing Division, through the Honolulu Vendor Self Service portal. CCOH Bidders list includes the name, address, DBE/non-DBE status, age of firm, and range of annual gross receipts of firms.

Contract assurance 49 CFR Section 26.13b

DTS will ensure that the following clause is placed in every USDOT- assisted contract and subcontract:

The contractor, sub-recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of USDOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

1. Withholding monthly progress payments;
2. Assuming sanctions;
3. Liquidated damages; and/or
4. Disqualifying the contractor from future bidding as non-responsible.

Contract provisions

See Attachment D.

DBE program updates 49 CFR Section 26.21 (b)(2)

All significant changes in the program will be submitted to the FTA for approval.

Responsibilities of staff 49 CFR Section 26.25

DBE Liaison Officer (DBELO):

The Director of the DTS has overall responsibility for DTS' programs, services and activities, and has delegated the responsibility of DBELO to the Division Chief of the DTS' Transportation Performance and Development Division. The DBELO reports directly to the Director.

The DBELO is responsible for implementing the Program and ensuring that DTS complies with all provisions of 49 CFR Part 26. The DBELO has direct, independent access to the Director concerning DBE program matters.

The duties and responsibilities of the DBELO include, but are not limited to the following:

1. Advises the Director of DTS on DBE matters and achievement;
2. Reviews, approves, and submits DTS' overall goals to the respective USDOT Operating Administrations; and
3. Supervises DBE staff with the following tasks:
 - a. Gathers and reports statistical data and other information as required by USDOT;

- b. Analyzes DTS' and its sub-recipients' progress toward attaining DBE goals by maintaining a running tally of payments to DBE and non-DBE subcontractors;
- c. Plans and participates in City and County of Honolulu sponsored DBE training seminars;
- d. Provides training for PMs and other staff with DBE responsibilities on DBE requirements such as but not limited to, monitoring commercially-useful function, goal-setting, good faith efforts, and prompt payment provisions;
- e. Provides outreach to DBEs and minority and women business organizations with contracting opportunities;
- f. Conducts audits of prime contractors to ensure prompt payment requirements are met;
- g. Monitors compliance of sub-recipients; and
- h. Works with BFS in maintaining DTS' bidders list.

The DBELO contact information is provided below.

Christopher Clark
Department of Transportation Services
650 South King St., 3rd Floor
Honolulu, HI 96813

Phone: 808-768-8399
Fax: 808-768-6987
Email: c.clark@honolulu.gov

DTS sub-recipients:

A sub-recipient is defined for the purposes of this Program as an entity, public or private, that receives USDOT financial assistance through DTS.

Sub-recipients shall develop a DBE Program where required by law, or adopt and abide by Program. DTS will make an effort to ensure that sub-recipients comply with all requirements. A sub-recipient agreement shall be executed to ensure that sub-recipients include the appropriate DBE clauses in all of its federal-aid contracts and subcontracts.

A signed contract with DTS serves as written confirmation that the sub-recipient has elected to adopt the Program. DTS shall provide all sub-recipients written notice of all document amendments. Sub-recipients shall provide written confirmation of adoption and incorporation of these amendments.

DTS shall conduct an annual review of all sub-recipients having adopted the Program. DTS shall submit an annual update to the USDOT Operating Administrators which includes a status statement regarding sub-recipient's performance and compliance with the Program.

DBE financial institutions 49 CFR Section 26.27

It is the policy of DTS to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community. This research is conducted using the Department of Treasury, Federal Reserve, FDIC, and Hawaii Department of Transportation (HDOT) DBE directory websites. Prime contractors on USDOT assisted contracts will be encouraged to make use of these institutions at all pre-bid meetings and a list of minority owned institutions (Attachment E) will be made available on DTS' and the BFS Purchasing Division's website.

Prompt payment mechanisms 49 CFR Section 26.29

DTS will include the following clause in each USDOT- assisted prime contract:

"The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 10 business days from the receipt of each payment the prime contractor receives from the CCOH. A subcontractor's work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented, as required by DTS. Full and prompt payment shall be made by the prime contractor to all subcontractors. No retainage shall be held. Any delay or postponement of payment from the above referenced time frame may be considered a breach of contract and occur only for good cause following written approval of DTS. This clause applies to both DBE and non-DBE subcontracts, and all tiers of subcontracts."

DTS' DBE Coordinator (DBEC) works with the PMs, prime contractors, and subcontractors to ensure that prompt payment mechanisms are followed and completed. The following mechanisms will be conducted and monitored electronically by email:

- All prime contractors shall submit the DBE Participation Monthly Report and Prompt Payment Certification (Attachment F) with each request for payment. Payments to the prime contractor will not be processed if the DBE Participation Monthly Report and Prompt Payment Certification is not properly completed and attached. All prime contractors shall also submit the DBE Participation Final Report and Prompt Payment Certification (Attachment G) with the final request for payment.
- The PMs shall provide the DBEC with a copy of the invoice and completed DBE Participation Monthly or Final Report and Prompt Payment Certification form.
- The prime contractor shall email the DBEC once payment is received from the CCOH and attach a copy of the check payment as proof of receipt of payment.
- Upon the prime's payment to their subcontractors, the subcontractors must notify the DBEC and attach by email the date of receipt of payment from the prime

contractor documenting prompt payment was made no later than 10 business days.

- The DBEC is also aware of all current and active contracts and verifies monthly with the PMs to ensure that the prime contractors and subcontractors are satisfying the Program's prompt payment mechanisms.

DBE directory 49 CFR Section 26.31

The HDOT maintains a directory identifying all firms eligible to participate as DBEs. The directory lists the firm's name, address, phone number, and type of work the firm has been certified to perform as a DBE. For more information, log on to:

<https://hdot.dbesystem.com>

Overconcentration 49 CFR Section 26.33

Overconcentration analyses will be conducted if it is determined that DBE firms are over-concentrated in a certain type of work as to unduly burden DBE firms to participate in this type of work. DTS DBE staff will take appropriate measures by using the most updated and available DBE firm information and the most recent North American Industry Classification System (NAICS) code information to compare DBE firms to all firms and a particular NAICS code. If it is determined that the DBE NAICS code exceeds 50% of their proportional share of work, overconcentration exists. The DBELO, after securing approval of the USDOT, may initiate some of the following actions:

1. Work with prime contractors to find and use DBEs in other industry areas.
2. Discontinue assigning a goal on a contract that offers work in the concentrated field.
3. Establish a business development program such as a mentor-protégé program, to assist DBEs in performing work outside of the specified field that DTS has determined to have an overconcentration of DBE participation.

Monitoring and enforcement mechanisms 49 CFR Section 26.37

1. DTS will implement the following monitoring and enforcement mechanisms to ensure compliance with 49 CFR Section 26.37.
 - a. DTS will monitor its Program to insure DBEs are afforded the opportunity to perform the work committed to them. A running tally will be kept of actual payments made to DBE firms and comparing this to the commitments at the time of the contract award. DTS will notify USDOT of any false, fraudulent, or dishonest conduct in connection with the program.

- b. DTS will verify that work committed to DBEs at contract award is actually performed by DBEs. This will be accomplished by requiring pre-construction meetings with the prime contractor and subcontractors to discuss scope of work and performance expectations on contracts and subcontracts. DTS will conduct field inspections and written certification on every contract being performed by DBEs to ensure that DBEs are in fact performing a commercially useful function. DTS will be monitoring all payments to subcontractors.
 - c. DTS shall require its contractors and subcontractors to submit and certify that the "DBE Participation Monthly Report and Prompt Payment Certification" and the "DBE Participation Final Report and Prompt Payment Certification" (Attachments F & G) is the work committed to DBEs and is actually being performed by DBEs with its own forces and reflecting payments made to DBE subcontractors. This written certification includes satisfying any return of retainage, terminations, and substitution or enforcement obligations.
 - d. DTS shall review the DBE policies and practices of its DBE contractors to ensure that they are in compliance with 49 CFR Part 26.
 - e. DTS will require prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of DTS or USDOT. This reporting requirement also extends to any certified DBE subcontractor.
2. DTS will implement the following monitoring and enforcement mechanisms to ensure that HART and any other applicable subrecipients are complying with 49 CFR Section 26.37.
- a. DTS will monitor HART's and subrecipients' semi-annually to ensure they are implementing the DBE obligations and that any award commitments are met to insure DBEs are afforded the opportunity to perform the work committed to them. DTS will request from HART that a running tally be kept of actual awards and payments made to prime and subcontractors. This information is required to complete the Uniform Report of DBE Awards or Commitments and Payments Form. If needed, DTS will review payment documents to verify that information is being collected and tabulated correctly.
 - b. DTS with the assistance of HART, will prepare and submit to the FTA an Annual Summary of the HART DBE Project Goal Attainment report by February 1.
 - c. DTS will conduct interviews as needed, and if necessary, request and review evidence to verify that work committed to DBEs at contract award is actually performed by DBEs. DTS will request that HART explain and discuss with

the prime contractor and subcontractors at their pre-construction meetings the scope of work and performance expectations on contracts and subcontracts. If necessary, DTS may conduct on-site reviews and inspections. Written certifications on every contract being performed by DBEs will be required to ensure that DBEs are in fact performing a commercially useful function.

- d. DTS shall require HART and subrecipients to have their contractors and subcontractors submit and certify that the "HART DBE Participation Report" or the "HART Final Report of DBE Participation" is completed and attached with each request for payment. In addition, the prime contractor shall pay the subcontractor for satisfactory performance of work under this contract no later than 10 calendar days from receipt of payment from HART. This written certification includes payment of retainage, if applicable.
- e. As needed, DTS shall review HART's DBE Program's policies and practices to ensure that it is current and in compliance with 49 CFR Part 26.
- f. DTS will require HART and their prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of DTS or USDOT. This reporting requirement also extends to any certified DBE subcontractor.
- g. DTS will notify USDOT of any false, fraudulent, or dishonest conduct in connection with HART's DBE program.

Fostering small business participation 49 CFR Section 26.39

1. Objective

- a. DTS seeks to foster small business participation in its DBE policy by facilitating competition and expanding opportunities for small businesses.
- b. DTS is committed to taking all reasonable steps to remove obstacles to small businesses that may prevent them from participating in procurements as prime contractors or subcontractors.

2. Definition of a Small Business

A firm must be an existing small business as defined pursuant to section 3 of the Small Business Act and Small Business Administration (SBA) regulations as found in 13 CFR Part 121.

Current SBA business size standards appropriate to the type(s) of work the firm seeks to perform in DOT-assisted contracts must be applied. The average

annual gross receipts specified in Title 49 CFR Part §26.65(b) over the firm's previous three fiscal years shall not exceed the cap. The current cap is \$26.29 million (December 14, 2020 Final Rule/Gross Receipts Adjustment) and is adjusted periodically for inflation.

3. Fostering Small Business Participation Plan

The City will meet its objectives by employing one or more of the following methods and strategies:

a. Outreach and Technical Assistance

DTS participates in HDOT's "DBE Networking Event" held several times a year where networking with DBE and non-DBE firms are held to encourage participation, provide assistance, educate, inform participants of the Program, and share upcoming DBE opportunities. When available, DTS participates in various events, such as Honolulu Authority for Rapid Transportation's "Industry Day" event or training sessions, such as "Contracting Basics for Small Business" or "Bonding Basics for Small Business".

In addition, the DTS' website periodically posts resources, free training and networking opportunities for small businesses.

b. Unbundling

Where feasible, DTS will look into the unbundling of large contracts to foster small business participation. DTS will review those contracts which potentially can be unbundled based on the following: scope of work, contract opportunities, and balancing the needs of the DBE program with procurement requirements, accountability and monitoring. The consideration to unbundle will also be made based on the estimated availability of small businesses able to provide specific scopes of work. Efforts will be made to not require unreasonable or unnecessary steps and burden small businesses and PMs. DTS anticipates that a broad coverage of potential bidders will facilitate interest and competition by small business concerns. Whenever feasible, Prime Contractors or Prime Consultants will also be encouraged to unbundle contracts for small businesses.

c. Set-asides

Where feasible, DTS will establish race-neutral small business "set-asides" for FTA assisted contracts under \$1 million. Set-asides will be a percentage of the total value of a reserved contract or portion of a contract for the exclusive participation by all small businesses, regardless of the owner's gender, race or geographic location. This requires that the DTS along with its prime contractors/consultants set aside a portion of the value of each contract for participation by small businesses. This set aside is in addition to the DBE

contract goals, if any. FTA-assisted contracts will be reviewed to assess the small business opportunities with consideration to their sizes and scopes.

4. Implementation Schedule

The CCHNL historically and currently has available a limited number of FTA-funded contracts with potential for DBE opportunities every year. In addition, the projects being procured are normally small in size and do not offer opportunities for unbundling. The few potential awards make it extremely difficult to implement a small business plan with a specific schedule or timeline. DTS currently reviews and implements elements of the Small Business Participation Plan in its projects when appropriate and on an “as needed” basis when the opportunity presents itself.

GOAL, GOOD FAITH EFFORTS, AND COUNTING

Set-asides or quotas 49 CFR Section 26.43

DTS shall not impose quotas or set-asides for use of DBEs in its federally assisted contracting.

Overall goal 49 CFR Section 26.45

A City and County of Honolulu Overall Goal will be applicable to all USDOT FTA-assisted contracts.

DTS has established a 15.05 percent overall DBE Goal for federal fiscal years 2020-2022. The 15.05 percent consist of 8.89 percent race neutral and 6.16 percent race conscious means. It is based on the relative availability of ready, willing, and able DBE(s) to participate in contracting opportunities under the DTS. The goal reflects the level of DBE participation expected absent the effects of discrimination in DTS contracting activities, and will be reviewed and adjusted, as necessary over the life of the project.

Goal submittal process & public participation 49 CFR Section 26.45

DTS will consult with minority, women’s and general contractor groups, community organizations, and other organizations for input prior to the proposal of the overall DBE Goal. DTS will then publish a notice of the proposed goal, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at the DBE program office for 30 days following the date of the notice. The proposed goal will also be posted on DTS’ website during this period along with information where comments may be submitted.

DTS will include in the goal submission their responses to all comments received from the public participation process.

Failure to meet overall goals 49 CFR Section 26.47

DTS reviews FTA-funded awards semi-annually to evaluate and assess progress on the projected annual goal. If it is determined that some contracts might not be awarded as calculated in the overall goal methodology, the DBEC works with the PMs to identify reasons for this potential shortfall. Some reasons include, but are not limited to, the following: a limited number of transit projects for potential contracts having opportunities for DBEs ready, willing and able to participate in FTA-funded contracts; unforeseen procurement processing delays resulting in an inability to timely advertise; project scope revisions attributed to re-prioritization of transit projects due in part to unforeseen safety and security needs; and lapsing of or insufficient non-federal matching funds. Should the assessment lead to any overall goal adjustments to reflect changed circumstances, DTS will submit to FTA the adjustments for review and approval.

In the event DTS is unable to meet the overall DBE goal, DTS will submit to the FTA a shortfall analysis by December 29. The shortfall analysis and corrective action plan shall include an analysis of the shortfall, which includes the shortfall percentage, reasons for the shortfall, anticipated projects with the potential for DBE awards for the next FFY, and an implementation schedule to correct the shortfall. Some measures to successfully meet the DBE goals include notifying qualified DBE firms of upcoming contracting opportunities; informing and educating DBE and non-DBE firms of the value in being a DBE and making them aware of future contracting opportunities; and unbundling large contracts to foster DBE participation.

Transit vehicle manufacturer's goals 49 CFR Section 26.49

DTS will require each transit vehicle manufacturer (TVM) to certify that it has complied with the requirements of this section by completing and signing the TVM Certification of Compliance with DBE Regulations form that is included in the FTA Required Clauses and Certifications document inserted into every FTA-funded vehicle procurement.

At the time of solicitation, BFS will also verify that the winning bidder is on the FTA's Eligible TVM list. For documentation, BFS is required to provide DTS with a signed and dated copy of the Eligible TVM list and TVM Certification of Compliance with DBE Regulations form for every FTA-funded vehicle procurement. The PM is also required to verify that the documentation provided by BFS complies with FTA requirements.

Alternatively, DTS may, at its discretion and with FTA approval, establish project-specific goals for DBE participation in the procurement of transit vehicles in lieu of the TVM complying with this element of the program.

DTS reports all FTA-funded transit vehicle awards on the FTA's online Civil Rights Transit Vehicle Award Reporting Form within 30 days of the award date.

Meeting overall goals 49 CFR Section 26.51

DTS shall attempt to meet its overall goal through race-neutral means or race conscious means as applicable. Race-neutral DBE participation includes any time a DBE wins a prime contract through customary competitive procurement procedures, is awarded a subcontract on a prime contract that does not carry a DBE goal, or even if there is a DBE goal, wins a subcontract from a prime contractor that did not consider its DBE status in making the award (e.g., a prime contractor that uses a strict low bid system to award subcontracts).

Estimated race-neutral & race-conscious participation 49 CFR Section 26.51

DTS shall project and meet the maximum feasible portion of its overall goal through race-neutral means of facilitating race-neutral DBE participation. It includes anytime when a DBE wins a prime contract through customary competitive procurement procedures, or is awarded a subcontract on a prime contract that does not carry a DBE contract goal.

DTS may use the following methods to increase DBE participation:

1. Arranging solicitation times for presentation of bids, quantity specifications, and delivery schedules that will facilitate the participation of DBEs and other small businesses. This may include unbundling large contracts, and encouraging prime contractors to subcontract portions of their work that they may otherwise perform with their own forces.
2. Providing information and technical assistance to DBEs and other small businesses.
3. Distributing the current DBE Directory, as needed, through print and electronic means for DBEs and other small businesses which do not have access to HDOT website.

Contract goals 49 CFR Section 26.51

DTS shall attempt to meet its overall goal through race-neutral means. Contract goals or other race or gender conscious means may be considered if it becomes apparent that the overall project goal cannot be met by race neutral means. DTS shall establish contract goals to the extent that contract goals will cumulatively meet any portion of the overall goal that DTS projects will not meet through race-neutral means. Contract goals will be expressed as a percentage of the total amount of a USDOT-assisted contract, less allowances and mobilization. DTS has established a 15.05 percent overall DBE Goal for federal fiscal years 2020-2022. The 15.05 percent consist of 8.89 percent race neutral and 6.16 percent race conscious means.

Contract goals will only be established on those USDOT contracts that have subcontracting possibilities.

Contract goals shall not be established on every contract. The amount of the goal shall be contingent upon the circumstances of the contract. Some of the following factors may be considered in determining whether a contract goal shall be established, and what the percentage of the goal shall be:

1. The projected portion of the goal that will be met by establishing contract goals;
2. The progress towards achieving the overall three-year goal;
3. The types and breakdown of activities in the proposed contract;
4. The availability of DBEs that are capable of performing the work called for in the contract;
5. The unique conditions of the project that might affect the ability of the prime contractor to coordinate, utilize, or incorporate subcontractors or suppliers into the project; and
6. The effect that the contract specific goal may have on the project's completion time.

Good faith efforts procedures 49 CFR Section 26.53

When a DBE contract goal is established, a bidder must make good faith efforts to meet the goal. If a bidder does not meet the goal, the DBELO or designate shall conduct the initial review of good faith efforts by the bidder to ensure all information is complete, accurate and documents the bidder's good faith efforts. Moreover, the DBELO or designate shall determine whether the contractor has performed the quality, quantity and intensity of efforts that demonstrate a reasonably active and aggressive attempt to meet the contract goal in accordance with 49 CFR Part 26, Appendix A.

The contractor bears the responsibility of demonstrating that it meets the contract goal. If the contractor cannot meet the contract goal, the contractor shall document their good faith efforts. In an effort to assist the contractor with documentation, a DBE Good Faith Efforts Form (Attachment H) is included in the Instructions for DBE Participation in FTA or USDOT Contracts. The contractor shall be required to document all actions taken to meet the contract goal. Good faith efforts by the bidder/offeror to meet the contract goal, may include, but are not limited to, the following actions:

1. Whether the contractor solicited through all reasonable and available means (e.g. attendance at meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform part or all of the work to be

included under the contract. DTS will also consider whether the bidder/offeror solicited the participation of potential DBEs in sufficient time to allow the DBEs to properly inquire about the project and respond to the solicitation, and will also review whether the bidder/offeror took appropriate steps to follow up with interested DBEs in a timely manner to facilitate participation by DBEs in this project;

2. Whether the contractor identified and broke up portions of work that can be performed by DBEs in order to increase the likelihood that DBEs would be able to participate, and the DBE goal could be achieved (e.g. breaking out contract items into economically feasible units to facilitate DBE participation, even when the bidder/offeror might otherwise prefer to perform these work items with its own forces);
3. Whether the contractor made available or provided interested DBEs with adequate information about the plans, specifications, and requirements of the project in a timely manner, and assisted them in responding to the bidder's/offeror's solicitation;
4. Whether the contractor negotiated in good faith with interested DBEs. Evidence of such negotiations includes documenting: a) the names, addresses, and telephone numbers of DBEs that were contacted by the bidder/offeror; b) description of the information that was provided to DBEs regarding the plans and specifications; and c) detailed explanations for not utilizing individual DBEs in the project. The fact that there may be additional or higher costs associated with finding and utilizing DBEs are not, by themselves, sufficient reasons for a bidder's/offeror's refusal to utilize a DBE, or the failure to meet the DBE goal, provided that such additional costs are not unreasonable. Also, the ability or desire of a bidder/offeror to perform a portion of the work with its own forces, that could have been undertaken by an available DBE, does not relieve the bidder/offeror of the responsibility to make good faith efforts to meet the DBE goal, and to make available and solicit DBE participation in other areas of the project to meet the DBE goal;
5. Whether the contractor rejected DBEs as being unqualified without sound reasons, or based on a thorough investigation of their capabilities. The DBE's standing within the industry, membership in specific groups, organizations, or associations, and political or social affiliation, are not legitimate bases for the rejection or non-solicitation of bids from particular DBEs;
6. Whether the contractor made efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance;
7. Whether the contractor made efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services; and

8. Whether the contractor effectively used the services of available minority/women community organizations, minority/women business groups, contractors' groups, local, state, and federal minority/women business assistance offices, or other organizations to provide assistance in recruitment and placement of DBEs.

It is the sole responsibility of the contractor to submit any and all documents, logs, correspondence, and any other records or information to DTS that will demonstrate that the contractor made good faith efforts to meet the DBE goal. Additionally, for each DBE that was contacted but not utilized by the contractor for a contract, the contractor shall submit a detailed written explanation for each DBE detailing the reasons for the contractor's failure or inability to utilize, or to allow the DBE to participate in the contract. In its good faith effort evaluation, DTS may, but shall not be required to perform the following as part of its evaluation:

1. Request additional information and documents from the contractor;
2. Compare the contractor's bid against the bids of other contractors on the same project, and comparing the DBEs and DBE work areas utilized by the contractor with the DBEs listed in other bids submitted for this contract;
3. Verify contacts by contractors with DBEs; and
4. Compare the DBE and the categories of DBE work targeted by the contractor for participation in the contract, with the total available pool of DBEs available for each particular subcontract targeted by the bidder.

Information to be submitted 49 CFR Section 26.53

DTS treats contractor's compliance with good faith efforts requirements as a matter of responsiveness.

Each solicitation for which a contract goal has been established will require the bidders/offers to submit the following information no later than 5 days after bid opening:

1. The names and addresses of DBE firms that will participate in the contract;
2. A description of the work that each DBE will perform;
3. The dollar amount of the participation of each DBE firm participating;
4. Written and signed documentation of commitment to use a DBE subcontractor whose participation it submits to meet a contract goal;
5. Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractor's commitment; and if the contract goal is not met, evidence of good faith efforts;

6. Written and signed confirmation by the participating DBE to verify its active status, as provided in the prime contractor's commitment; and
7. If the contract goal is not met, evidence of good faith efforts.

Administrative reconsideration 49 CFR Section 26.53

Within five (5) working days of being informed by the DTS' Director that the contractor is not responsive because it has not documented sufficient good faith efforts, a contractor may request administrative reconsideration. Contractors should make this request in writing to the following official:

Director
Department of Transportation Services
650 South King St., 3rd Floor
Honolulu, Hawaii 96813
Attn: DBELO

The Director of DTS or his designee shall not have played any role in the original determination that the contractor did not document sufficient good faith efforts.

As part of this reconsideration, the contractor will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The contractor will have the opportunity to meet in person with the reconsideration official, or his/her designee, to discuss the issue of whether it met the goal or made adequate good faith efforts to do so.

In an administrative reconsideration, DTS may consider whether other contractors are able to attain the contract goal, as DTS will review all previously submitted documents, oral, and written arguments, and other evidence presented in the reconsideration, in making its decision.

The Director will inform the contractor in writing of DTS' reconsideration decision within 45 days of the proceeding. The decision will state DTS' findings with respect to whether or not the contractor met the contract goal, or whether the contractor exhibited good faith efforts to achieve the contract goal.

The reconsideration decision is not administratively appealable to the USDOT but is appealable under HRS 103D-709.

Good Faith Efforts when a DBE is replaced on a contract 49 CFR Section 26.53

DTS will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. DTS will require the prime contractor to promptly provide written notice to the PM or resident engineer of the DBE's inability or unwillingness to perform and provide reasonable documentation.

The written notice by the contractor must include the following:

1. The date the contractor determined that the certified DBE to be unwilling, unable or ineligible to perform work on the contract;
2. The projected date that the contractor shall require a substitution or replacement DBE to commence work if consent is granted by DTS;
3. Documentation of facts that cite specific actions or inactions on the part of the affected DBE that led to the contractor's conclusion that the DBE is unwilling, unable, or ineligible to perform work on the contract;
4. A brief statement of the affected DBE's capacity and ability or inability to perform the work as determined by the contractor;
5. Documentation of contractor's good faith efforts to enable the affected DBE to perform the work;
6. The current percentage of work completed on each bid item by the affected DBE;
7. The total dollar amount currently paid per bid item for work performed by the affected DBE;
8. The total dollar amount per bid item remaining to be paid to the DBE for work completed but for which the DBE has not received payment, and with which the contractor has no dispute; and
9. The total dollar amount per bid item remaining to be paid to the DBE for work completed for which the DBE has not received payment, and with which the contractor and DBE have a dispute.

The prime contractor shall send a copy of the written notice to replace a certified DBE on a contract to the affected DBE. The affected DBE may submit a written response within five (5) calendar days to DTS to explain its position on its performance on the committed work. DTS shall consider both the prime contractor's request and DBE's stated position before approving the termination or substitution request, or determining if the contractor should reconsider its decision to replace a DBE and terminate its subcontract.

No substitution or termination of a DBE subcontractor shall be made at any time without the prior written consent of DTS. Written consent shall be provided only if the prime contractor has demonstrated good cause, as determined by DTS, to terminate the DBE. Good cause may include, but is not limited to the following circumstances:

1. The DBE subcontractor fails or refuses to execute a written contract.

2. The listed DBE subcontractor fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards.
3. The listed DBE subcontractor fails or refuses to meet the prime contractor's reasonable, nondiscriminatory bond requirements.
4. The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;
5. The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR Parts 180, 215 and 1200 or applicable state law;
6. HDOT has determined that the listed DBE subcontractor is not a responsible contractor;
7. The listed DBE subcontractor voluntarily withdraws from the project and provides to HDOT written notice of its withdrawal;
8. The listed DBE is ineligible to receive DBE credit for the type of work required; and
9. A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract.

Sample bid specification

The requirements of 49 CFR Part 26, Regulations of the U.S. Department of Transportation, apply to this contract. It is the policy of the Department of Transportation Services to practice non-discrimination based on race, color, sex, or national origin in the award or performance of this contract. All firms qualifying under this solicitation are encouraged to submit bids/proposals. Award of this contract will be conditioned upon satisfying the requirements of this bid specification.

These requirements apply to all bidders/offerors, including those who qualify as a DBE. A DBE contract goal of __% percent has been established for this contract. The bidder/offeror shall make good faith efforts, as defined in Appendix A, 49 CFR Part 26, to meet the contract goal for DBE participation in the performance of this contract.

The bidder/offeror will be required to submit the following information: (1) the names and addresses of DBE firms that will participate in the contract; (2) a description of the work that each DBE firm will perform; (3) the dollar amount of the participation of each DBE firm participating; (4) written documentation of the bidder/offeror's commitment to use a DBE subcontractor whose participation it submits to meet the contract goal; (5) written confirmation from the DBE that it is participating in the contract as provided in

the commitment made under (4); and (5) if the contract goal is not met, evidence of good faith efforts.

Counting DBE participation 49 CFR Section 26.55

DTS will count DBE participation toward contract goals as provided in 49 CFR 26.55, as follows:

1. When a DBE participates in a contract, only the value of the work actually performed by the DBE toward DBE goals is counted;
2. When a DBE performs as a participant in a joint venture, count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces toward DBE goals;
3. Count expenditures to a DBE contractor toward DBE goals only if the DBE is performing a commercially useful function on that contract;
4. Determine whether a DBE trucking company is performing a commercially useful function;
5. Count expenditures with DBEs for materials or supplies toward DBE goals;
6. If a firm is not currently certified as a DBE at the time of the execution of the contract, do not count the firm's participation toward any DBE goals, except as provided for in § 26.87(i);
7. Do not count the dollar value of work performed under a contract with a firm after it has ceased to be certified toward your overall goal; and
8. Do not count the participation of a DBE subcontractor toward a contractor's final compliance with its DBE obligations on a contract until the amount being counted has actually been paid to the DBE.

Commercially useful function 49 CFR Section 26.55(c)

To determine whether a DBE is performing a commercially useful function, DTS shall evaluate the amount of work subcontracted to the DBE and industry practices. This will determine whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the DBE credit claimed for its performance of the work, and other relevant factors. The DBE must perform at least 30 percent of the work with its own forces.

When a DBE is presumed not to be performing a commercially useful function, the DBE may present evidence to refute this presumption. DTS shall make the determination

whether a DBE firm is performing a commercially useful function given the type of work involved and normal industry practices.

DTS' decision on commercially useful function matters are subject to review by the concerned operating administration, but are not administratively appealable to USDOT.

Monitoring Commercially Useful Function Performance

It shall be the prime contractor's responsibility to ensure that all certified DBEs selected to perform work on the contract and for which the prime contractor shall receive DBE credit, perform a commercially useful function.

DTS shall conduct inspections at each project site at the start of the project and when DBEs begin work to ensure that certified DBEs are performing a commercially useful function. Field inspectors shall utilize the Commercially Useful Function Project Site Review CUF Form (Attachment I).

Use of Joint Checks

DTS will not object to the use of joint checks when the following conditions are met:

1. The second party (typically the prime contractor) acts solely as a guarantor;
2. The DBE must release the check to the supplier;
3. The use of joint checks is a commonly recognized business practice;
4. DTS will approve the practice before it is used. As a part of this approval process, DTS will analyze industry practices to confirm the practice is commonly employed outside of the Program for non-DBE subcontractors on both federal and city funded contracts. Using joint checks shall not be approved if it conflicts with other aspects of the DBE regulations regarding commercially useful function (CUF); and
5. DTS shall monitor this use closely to avoid abuse.

The following shall be present to support joint checks:

1. Standard industry practice applies to all contractors (federal and city contracts);
2. Use of joint checks must be available to all subcontractors;
3. Material industry sets the standard industry practice, not prime contractors;
4. Short term is not to exceed reasonable time (i.e., one year, two years) to establish/increase a credit line with the material supplier;

5. No exclusive arrangement between one prime and one DBE in the use of joint checks that may compromise the independence of the DBE;
6. Non-proportionate ratio of DBE's normal capacity to size of contract and quantity of material to be provided under the contract;
7. DBE is normally responsible to install and furnish the work item; and
8. DBE must be more than an extra participant in releasing the check to the material supplier.

General conditions for allowance by DTS:

1. DBE submits request to DTS for action;
2. DTS will provide prior approval of the request;
3. There is a formalized agreement between all parties that specify the conditions under which the arrangement shall be permitted;
4. There is a full and prompt disclosure of the expected use of joint checks;
5. DBE remains responsible for all other elements of 49 CFR 26.55(c)(1);
6. The agreement states clearly that the DBE's independence is not threatened because it retains final decision making responsibilities;
7. DTS will determine that the request is not an attempt to artificially inflate DBE participation;
8. Standard industry practice is only one factor and other factors shall be considered by DTS prior to authorizing the use of joint checks;
9. DTS will monitor and maintain oversight of the arrangement by reviewing cancelled checks and/or certification statement of payment;
10. DTS will verify there is no requirement by prime contractor that DBE is to use a specific supplier nor the prime "contractors" negotiated unit price.

Counting participation of ineligible DBEs 49 CFR 26.87

1. If a DBE firm becomes de-certified after the contract award but before the notice to proceed has been issued by DTS, DTS shall require the prime contractor to meet the DBE goal by continuing to subcontract with the de-certified DBE, and by expending good faith efforts to find work not already subcontracted out to DBEs, in an amount sufficient to meet the DBE goal. The work performed, or

supplies provided by an ineligible (i.e. de-certified) DBE, shall not be counted towards the DBE contract goal or DTS' overall goal.

2. If a prime contractor has executed a subcontract with the firm before the notice of ineligibility, the prime contractor may continue to use the DBE firm on the contract and may continue to receive credit toward its DBE contract goal for the firm's work. If a prime has a DBE that was later ruled ineligible, the portion of the ineligible firm's performance of the contract remaining after the issuance of the notice shall not count toward the overall goal, but may count toward the contract goal.
3. If a DBE firm becomes ineligible solely because it has exceeded the business size standard during performance of the contract, DTS shall continue to count its participation on that contract towards DTS' overall goal, as well as the contract goal.

CERTIFICATION

HDOT is the sole certifying agency for the USDOT DBE Program in the State of Hawaii. All applicants that are seeking DBE certification or re-certification will be directed to HDOT which will undertake the responsibility to review, investigate and determine DBE eligibility. The DTS is not a certifying agency.

HDOT compiles, maintains and distributes a DBE Directory consisting of all eligible DBEs. The electronic versions are posted on the internet at <https://hdot.dbesystem.com>.

For the purpose of the DTS DBE program, the DTS will rely solely on the information supplied by HDOT.

Information, confidentiality, cooperation; Section 26.109

DTS shall safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with federal, state, and local law. This includes disclosure of confidential business or personal information prohibited by Section 92F-13 of the Hawaii Revised Statutes.

Notwithstanding any contrary provisions of state or local law, DTS will not release personal financial information submitted in response to the personal net worth requirement to a third party (other than USDOT) without the written consent of the submitter.

Attachment A

UNIFORM REPORT OF DBE COMMITMENTS/AWARDS AND PAYMENTS										
Please refer to the instruction sheet for directions on filling out this form										
1	Submitted to (check only one) <input type="checkbox"/> FHWA <input type="checkbox"/> FAA <input type="checkbox"/> FTA - Recipient ID Number									
2	AIP Numbers (FAA Recipients); Grant									
3	Federal Fiscal year in which reporting				4. Date This Report Submitted:					
5	Reporting Period <input checked="" type="checkbox"/> Report due June 2 (for period Oct <input type="checkbox"/> Report due Dec 1 (for period April 1-Sep 30) <input type="checkbox"/> FAA annual report due									
6	Name and address of									
7	Annual DBE Goal(s): Race Conscious Projection: Race Neutral Projection: OVERALL Goal:									
Awards/Commitments this Reporting Period										
		A	B	C	D	E	F	G	H	I
A	AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (Total contracts and subcontracts committed during this period)	Total Dollars	Total Number	Total to DBEs (dollars)	Total to DBEs (number)	Total to DBEs/Race Conscious (dollar)	Total to DBEs/Race Conscious (numb)	Total to DBEs/Race Neutral (dollar)	Total to DBEs/Race Neutral (number)	Percentage of total dollars to DBEs
8	Prime contracts awarded this period	\$ -	0	\$ -	0			\$ -	0	
9	Subcontracts awarded/committed this	\$ -	0	\$ -	0	\$ -	0	\$ -	0	
10					0	\$ -	0	\$ -	0	
B	BREAKDOWN BY ETHNICITY & GENDER	A B C			D E F					
		Total to DBE (dollar amount)			Total to DBE (number)					
		Women	Men	Total	Women	Men	Total			
11	Black American	\$ -	\$ -	\$ -	0		0			
12	Hispanic American	\$ -	\$ -	\$ -	0		0			
13	Native American	\$ -	\$ -	\$ -	0		0			
14	Asian-Pacific American	\$ -	\$ -	\$ -	0		0			
15	Subcontinent Asian	\$ -	\$ -	\$ -	0		0			
16	Non-Minority	\$ -	\$ -	\$ -	0		0			
17	TOTAL	\$ -	\$ -	\$ -	0		0			
Payments Made this Period										
		A	B	C	D	E	F			
C	PAYMENTS ON ONGOING CONTRACTS	Total Number of Contracts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE firms	Total Number of DBE firms Paid	Percent to DBEs			
18	Prime and subcontracts	0	\$ -	0	\$ -	0				
D	TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	A	B	C	D	E				
		Number of Contracts Completed	Total Dollar Value of Contracts Completed	DBE Participation Needed to Meet Goal (Dollars)	Total DBE Participation (Dollars)	Percent to DBEs				
19	Race Conscious	0	\$ -	\$ -	\$ -					
20	Race Neutral	0	\$ -	\$ -	\$ -					
21	Totals	0	\$ -	\$ -	\$ -					
22	Submitted by:			23. Signature:			24. Phone Number:			

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ELECTRONIC CODE OF FEDERAL REGULATIONS

e-CFR data is current as of January 17, 2020

Title 49 —> Subtitle A —> Part 26 —> Appendix

Title 49: Transportation

PART 26—PARTICIPATION BY DISADVANTAGED BUSINESS ENTERPRISES IN DEPARTMENT OF
TRANSPORTATION FINANCIAL ASSISTANCE PROGRAMS

**APPENDIX B TO PART 26—UNIFORM REPORT OF DBE AWARDS OR COMMITMENTS AND
PAYMENTS FORM**

**INSTRUCTIONS FOR COMPLETING THE UNIFORM REPORT OF DBE AWARDS/COMMITMENTS
AND PAYMENTS**

Recipients of Department of Transportation (DOT) funds are expected to keep accurate data regarding the contracting opportunities available to firms paid for with DOT dollars. Failure to submit contracting data relative to the DBE program will result in noncompliance with Part 26. All dollar values listed on this form should represent the DOT share attributable to the Operating Administration (OA): Federal Highway Administration (FHWA), Federal Aviation Administration (FAA) or Federal Transit Administration (FTA) to which this report will be submitted.

1. Indicate the DOT (OA) that provides your Federal financial assistance. If assistance comes from more than one OA, use separate reporting forms for each OA. If you are an FTA recipient, indicate your Vendor Number in the space provided.

2. If you are an FAA recipient, indicate the relevant AIP Numbers covered by this report. If you are an FTA recipient, indicate the Grant/Project numbers covered by this report. If more than ten attach a separate sheet.

3. Specify the Federal fiscal year (*i.e.*, October 1-September 30) in which the covered reporting period falls.

4. State the date of submission of this report.

5. Check the appropriate box that indicates the reporting period that the data provided in this report covers. For FHWA and FTA recipients, if this report is due June 1, data should cover October 1-March 31. If this report is due December 1, data should cover April 1-September 30. If the report is due to the FAA, data should cover the entire year.

6. Provide the name and address of the recipient.

7. State your overall DBE goal(s) established for the Federal fiscal year of the report being submitted to and approved by the relevant OA. Your overall goal is to be reported as well as the breakdown for specific Race Conscious and Race Neutral projections (both of which include gender-conscious/neutral projections). The Race Conscious projection should be based on measures that focus on and provide benefits only for DBEs. The use of contract goals is a primary example of a race conscious measure. The Race Neutral projection should include measures that, while benefiting DBEs, are not solely focused on DBE firms. For example, a small business outreach program, technical assistance, and prompt payment clauses can assist a wide variety of businesses in addition to helping DBE firms.

Section A: Awards and Commitments Made During This Period

The amounts in items 8(A)-10(I) should include all types of prime contracts awarded and all types of subcontracts awarded or committed, including: professional or consultant services, construction, purchase of materials or supplies, lease or purchase of equipment and any other types of services. All dollar amounts are to reflect only the Federal share of such contracts and should be rounded to the nearest dollar.

Attachment B

Line 8: Prime contracts awarded this period: The items on this line should correspond to the contracts directly between the recipient and a supply or service contractor, with no intermediaries between the two.

8(A). Provide the *total dollar amount* for all prime contracts assisted with DOT funds and awarded during this reporting period. This value should include the entire Federal share of the contracts without removing any amounts associated with resulting subcontracts.

8(B). Provide the *total number* of all prime contracts assisted with DOT funds and awarded during this reporting period.

8(C). From the total dollar amount awarded in item 8(A), provide the *dollar amount* awarded in prime contracts to certified DBE firms during this reporting period. This amount should not include the amounts sub contracted to other firms.

8(D). From the total number of prime contracts awarded in item 8(B), specify the *number* of prime contracts awarded to certified DBE firms during this reporting period.

8(E&F). This field is closed for data entry. Except for the very rare case of DBE-set asides permitted under 49 CFR part 26, all prime contracts awarded to DBEs are regarded as race-neutral.

8(G). From the total dollar amount awarded in item 8(C), provide the *dollar amount* awarded to certified DBEs through the use of Race Neutral methods. See the definition of Race Neutral in item 7 and the explanation in item 8 of project types to include.

8(H). From the total number of prime contracts awarded in 8(D), specify the *number* awarded to DBEs through Race Neutral methods.

8(1). Of all prime contracts awarded this reporting period, calculate the *percentage* going to DBEs. Divide the dollar amount in item 8(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth.

Line 9: Subcontracts awarded/committed this period: Items 9(A)-9(I) are derived in the same way as items 8(A)-8(I), except that these calculations should be based on subcontracts rather than prime contracts. Unlike prime contracts, which may only be awarded, subcontracts may be either awarded or committed.

9(A). If filling out the form for general reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded in prime contracts in 8(A), and therefore should never be greater than the amount awarded in prime contracts. If filling out the form for project reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded or previously in prime contracts in 8(A). The sum of all subcontract amounts in consecutive periods should never exceed the sum of all prime contract amounts awarded in those periods.

9(B). Provide the total number of all sub contracts assisted with DOT funds that were awarded or committed during this reporting period.

9(C). From the total dollar amount of sub contracts awarded/committed this period in item 9(A), provide the total dollar amount awarded in sub contracts to DBEs.

9(D). From the total number of sub contracts awarded or committed in item 9(B), specify the number of sub contracts awarded or committed to DBEs.

9(E). From the total dollar amount of sub contracts awarded or committed to DBEs this period, provide the amount in dollars to DBEs using Race Conscious measures.

9(F). From the total number of sub contracts awarded or committed to DBEs this period, provide the number of sub contracts awarded or committed to DBEs using Race Conscious measures.

Attachment B

9(G). From the total dollar amount of sub contracts awarded/committed to DBEs this period, provide the amount in dollars to DBEs using Race Neutral measures.

9(H). From the total number of sub contracts awarded/committed to DBEs this period, provide the number of sub contracts awarded to DBEs using Race Neutral measures.

9(I). Of all subcontracts awarded this reporting period, calculate the *percentage* going to DBEs. Divide the dollar amount in item 9(C) by the dollar amount in item 9(A) to derive this percentage. Round percentage to the nearest tenth.

Line 10: Total contracts awarded or committed this period. These fields should be used to show the total dollar value and number of contracts awarded to DBEs and to calculate the overall percentage of dollars awarded to DBEs.

10(A)-10(B). These fields are unavailable for data entry.

10(C-H). Combine the total values listed on the prime contracts line (Line 8) with the corresponding values on the subcontracts line (Line 9).

10(I). Of all contracts awarded this reporting period, calculate the *percentage* going to DBEs. Divide the total dollars awarded to DBEs in item 10(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth.

Section B: Breakdown by Ethnicity & Gender of Contracts Awarded to DBEs This Period

11-17. Further breakdown the contracting activity with DBE involvement. The Total Dollar Amount to DBEs in 17(C) should equal the Total Dollar Amount to DBEs in 10(C). Likewise, the total number of contracts to DBEs in 17(F) should equal the Total Number of Contracts to DBEs in 10(D).

Line 16: The "Non-Minority" category is reserved for any firms whose owners are not members of the presumptively disadvantaged groups already listed, but who are either "women" OR eligible for the DBE program on an individual basis. All DBE firms must be certified by the Unified Certification Program to be counted in this report.

Section C: Payments on Ongoing Contracts

Line 18(A-E). Submit information on contracts that are currently in progress. All dollar amounts are to reflect only the Federal share of such contracts, and should be rounded to the nearest dollar.

18(A). Provide the total dollar amount paid to all firms performing work on contracts.

18(B). Provide the total number of contracts where work was performed during the reporting period.

18(C). From the total number of contracts provided in 18(A) provide the total number of contracts that are currently being performed by DBE firms for which payments have been made.

18(D). From the total dollar amount paid to all firms in 18(A), provide the total dollar value paid to DBE firms currently performing work during this period.

18(E). Provide the total number of DBE firms that received payment during this reporting period. For example, while 3 contracts may be active during this period, one DBE firm may be providing supplies or services on all three contracts. This field should only list the number of DBE firms performing work.

18(F). Of all payments made during this period, calculate the percentage going to DBEs. Divide the total dollar value to DBEs in item 18(D) by the total dollars of all payments in 18(B). Round percentage to the nearest tenth.

Section D: Actual Payments on Contracts Completed This Reporting Period

This section should provide information only on contracts that are closed during this period. All dollar amounts are to reflect the entire Federal share of such contracts, and should be rounded to the nearest dollar.

19(A). Provide the total number of contracts completed during this reporting period that used Race Conscious measures. Race Conscious contracts are those with contract goals or another race conscious measure.

19(B). Provide the total dollar value of prime contracts completed this reporting period that had race conscious measures.

19(C). From the total dollar value of prime contracts completed this period in 19(B), provide the total dollar amount of dollars awarded or committed to DBE firms in order to meet the contract goals. This applies only to Race Conscious contracts.

19(D). Provide the actual total DBE participation in dollars on the race conscious contracts completed this reporting period.

19(E). Of all the contracts completed this reporting period using Race Conscious measures, calculate the percentage of DBE participation. Divide the total dollar amount to DBEs in item 19(D) by the total dollar value provided in 19(B) to derive this percentage. Round to the nearest tenth.

20(A)-20(E). Items 21(A)-21(E) are derived in the same manner as items 19(A)-19(E), except these figures should be based on contracts completed using Race Neutral measures.

20(C). This field is closed.

21(A)-21(D). Calculate the totals for each column by adding the race conscious and neutral figures provided in each row above.

21(C). This field is closed.

21(E). Calculate the overall percentage of dollars to DBEs on completed contracts. Divide the Total DBE participation dollar value in 21(D) by the Total Dollar Value of Contracts Completed in 21(B) to derive this percentage. Round to the nearest tenth.

23. Name of the Authorized Representative preparing this form.

24. Signature of the Authorized Representative.

25. Phone number of the Authorized Representative.

****Submit your completed report to your Regional or Division Office.**

BIDDER REGISTRATION FORM

(A separate form is to be completed by ALL contractors, subcontractors, consultants, vendors, suppliers, manufacturers, truckers, etc. who bid and/or participate in federally-funded contracts.)

In accordance with Title 49, Code of Federal Regulations, Part 26 (49 CFR Part 26.11c), the Department of Transportation Services is required to create and maintain a bidder's list consisting of all firms [Disadvantaged Business Enterprise (DBE) and non-DBE] who bid on prime contracts and/or quote as subcontractors on federally-assisted contracts.

Date: _____

Project Title: _____

Firm Name: _____

DBA (if Applicable): _____

Address: _____

Mailing Address (if different): _____

Contact Person: _____ Phone No. _____

Email Address: _____

Check all that apply to you:

- | | | |
|---|--|--------------------------------------|
| <input type="checkbox"/> Prime Contractor | <input type="checkbox"/> Construction | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Subcontractor | <input type="checkbox"/> Material Supplier | |
| <input type="checkbox"/> Consultant | <input type="checkbox"/> Manufacturer | |

Currently Certified as a DBE? ☐ Yes ☐ No

If you are a DBE, what is your classification code: _____

(BA=Black American, HA=Hispanic American, NA=Native American, SAA=Subcontinent Asian American, APA=Asian Pacific American, W=Women, O=Other (Any other groups whose members are designated socially and economically disadvantaged by the Small Business Administration.)

Year Firm was Established: _____

Check which Best Indicates your Annual Gross Receipts:

- | | | |
|---|---|---|
| <input type="checkbox"/> Less than \$500,000 | <input type="checkbox"/> \$1,000,000 to \$4,999,999 | <input type="checkbox"/> \$10,000,000 to \$16,999,999 |
| <input type="checkbox"/> \$500,000 to \$999,999 | <input type="checkbox"/> \$5,000,000 to \$9,999,999 | <input type="checkbox"/> More than \$17,000,000 |

NAICS (North American Industry Classification System) Codes (6 digit): (List all that apply.)

Type of Work: _____

Contract Provisions

- 1 DBE Assurances: The contractor and its subcontractors shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 C.F.R. Part 26 in the award and administration of USDOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in termination of this contract or such other remedy, as the Department of Transportation Services (DTS) deems appropriate.

The above paragraph shall be included in each subcontract of which the contractor signs with a subcontractor.

- 2 Prompt Payment: The contractor shall pay all subcontractors (DBEs and non-DBEs) for satisfactory performance of their subcontracts no later than ten (10) days from receipt of payment by DTS. Full and prompt payment shall be made by the contractor to all subcontractors and no retainage shall be withheld.
- 3 DBE Goal: DTS has established a 14.65 percent overall DBE Goal for federal fiscal years 2017-2019. The 14.65 percent consist of 8.65 percent race neutral and 4.29 percent race conscious means.
 - a) Take affirmative steps to use as many of the race-neutral means of achieving DBE participation identified at 49 C.F.R. 26.51(b) as practical to afford opportunities to DBEs to participate in the agreement. A race-neutral measure is one that is, or can be, used to assist all small businesses.
 - b) A DBE firm must perform a commercially useful function, i.e., must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work; and
 - c) A DBE firm must be certified by the HDOT before its participation is reportable under paragraph (d) below;
- 4 Reports to DTS: The contractor shall report its DBE participation obtained throughout the period of performance. The contractor shall submit the "DBE Participation Monthly Report and Prompt Payment Certification" reflecting payments made by the contractor to DBE subcontractors. Payments to the contractor will not be processed if the "DBE Participation Monthly Report and Prompt Payment Certification" is not properly completed and attached. The final payment to the contractor will not be processed if the "DBE Participation Final Report and Prompt Payment Certification" is not properly completed and attached.

5. Records: On request, the contractor shall make available for inspection, and assure that its subcontractors make available for inspection:
 - a) Records of prompt payments made in accordance to the participation requirements;
 - b) The names and addresses of DBE subcontractors, vendors, and suppliers under this contract;
 - c) The dollar amount and nature of work of each DBE subcontractor;
 - d) The social/economic disadvantaged category of the DBE firms, i.e. Black American, Hispanic American, Native American, Subcontinent Asian American, Asian Pacific American, Non-Minority women, or Other; and
 - e) Other related materials and information.
6. The contractor shall promptly notify DTS, whenever a DBE subcontractor performing work related to this Agreement is terminated or fails to complete its work. The contractor shall also promptly notify DTS of a DBE subcontractor's inability or unwillingness to perform and provide reasonable documentation.

List of DBE financial institutions

As of March 2021, the following three financial institutions are identified to be owned and controlled by socially and economically disadvantaged persons:

<https://www.occ.gov/about/who-we-are/occ-for-you/minority-outreach/minoritydepository-institutions-list.pdf>

<https://www.fdic.gov/regulations/resources/minority/mdi.html>

The three financial institutions are:

1. Hawaii National Bank
2. Finance Factors Ltd.
3. Ohana Pacific Bank

DBE PARTICIPATION MONTHLY REPORT AND PROMPT PAYMENT CERTIFICATION This report shall be submitted with each invoice as a condition of payment under this contract						
Project Title:			Project No:			
Contractor Name:			Contract No:			
Period Covered By This Report:			Total Contract Amount:			
Invoice No:	Previous Total Invoice Amount: (A)		Current Invoice Amount: (B)		Total Invoice Amount to Date(A+B): (C)	
Payment Requested: (attach additional sheets if necessary)	DBE? (Yes/No)	DBE Code	Contract Amount	Previous Invoice Amount	Current Invoice Amount	Total Invoice Amount to Date (D)
Prime Contractor:						
Type of Work:						
Subcontractors:						
Name:						
Type of Work:						
Name:						
Type of Work:						
Name:						
Type of Work:						
Name:						
Type of Work:						
TOTAL						
Contractor's DBE Goal for this Contract: (Refer to Statement and Goal Form)			%	DBE Participation to Date: (Total DBE payments in column D/C)		
				%		

DBE classification codes: BA=Black American; HA=Hispanic American; NA=Native American; SAA=Subcontinent Asian American; APA=Asian Pacific American; W=Women; O=Other (any other groups whose members are designated socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective).

The undersigned hereby certifies that payments to all DBE subcontractors were paid within 10 (ten) business days after receipt of payment from the City, in accordance with the terms of the subcontract; and further certify that the Commercially Useful Function (CUF) was performed, no substitutions made; payments made to all subcontractors and all DBEs satisfactorily paid. This applies to both DBE and non-DBE subcontractors. This declaration is made under penalty of perjury under the laws of the United States, and the Hawaii Penal Code, Section 710-1063, Hawaii Revised Statutes, regarding unsworn falsification to authorities and knowingly rendering a false declaration.

Name _____

Title _____

Telephone No. _____

Email Address _____

Signature _____

Date _____

DBE PARTICIPATION FINAL REPORT AND PROMPT PAYMENT CERTIFICATION This report shall be submitted with each invoice as a condition of payment under this contract						
Project Title:				Project No:		
Contractor Name:				Contract No:		
Period Covered By This Report:				Total Contract Amount:		
Invoice No:	Previous Total Invoice Amount: (A)		Current Invoice Amount: (B)		Final Invoice Amount (A+B): (C)	
Payment Requested: (attach additional sheets if necessary)	DBE? (Yes/No)	DBE Code	Contract Amount	Previous Invoice Amount	Current Invoice Amount	Final Invoice Amount (D)
Prime Contractor:						
Type of Work:						
Subcontractors:						
Name:						
Type of Work:						
Name:						
Type of Work:						
Name:						
Type of Work:						
Name:						
Type of Work:						
TOTAL						
Contractor's DBE Goal for this Contract: (Refer to Statement and Goal Form)			%	Final DBE Participation: (Total DBE payments in column D/C)		
				%		

DBE classification codes: BA=Black American; HA=Hispanic American; NA=Native American; SAA=Subcontinent Asian American; APA=Asian Pacific American; W=Women; O=Other (any other groups whose members are designated socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective).

The undersigned hereby certifies that payments to all DBE subcontractors were paid within 10 (ten) business days after receipt of payment from the City, in accordance with the terms of the subcontract; and further certify that the Commercially Useful Function (CUF) was performed, no substitutions made; payments made to all subcontractors and all DBEs satisfactorily paid. This applies to both DBE and non-DBE subcontractors. This declaration is made under penalty of perjury under the laws of the United States, and the Hawaii Penal Code, Section 710-1063, Hawaii Revised Statutes, regarding unsworn falsification to authorities and knowingly rendering a false declaration.

Name _____
 Telephone No. _____
 Signature _____

Title _____
 Email Address _____
 Date _____

DBE Good Faith Efforts Form
(For Federal Transit Administration-Funded Contracts)

Note: The intent of this form is to help the Contractor document their good faith effort attempts when soliciting DBE firms to meet DBE contract goals. This form is not intended to be exclusive or exhaustive, nor are all the actions mandatory. Other types of efforts may be relevant in appropriate cases. The contractor must make efforts to achieve the goal throughout the life of the contract.

Project Name & Contract No. _____

If there is a DBE contract goal assigned to this contract and the Contractor is not able to meet the DBE goal as stated in the solicitation, the Contractor shall provide documentation of good faith efforts in obtaining DBE firms. If this is a design-build contract, the Contractor shall provide a plan of how they will attempt to obtain DBE participation. In either case, the Contractor shall provide a list of various subcontracting opportunities (trades) pertaining to this project and proof of at least three attempts to obtain DBE participation for each trade. All attempts shall be in writing/email and shall be documented.

Required Information

List all trades (eg. Electrical, Cement, Reinforcing Steel, etc.) associated with the project.

1. Trade _____ Able to Find DBE Contractor? (Y/N) _____

If yes: DBE participation \$ _____ Percentage _____

If no, how many DBE's did you contact? _____ If less than 3, why? _____

Attempt One

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Two

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Three

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

2. Trade _____ Able to Find DBE Contractor? (Y/N) _____

If yes: DBE participation \$ _____ Percentage _____

If no, how many DBE's did you contact? _____ If less than 3, why? _____

Attempt One

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Two

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Three

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

3. Trade _____ Able to Find DBE Contractor? (Y/N) _____

If yes: DBE participation \$ _____ Percentage _____

If no, how many DBE's did you contact? _____ If less than 3, why? _____

Attempt One

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Two

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Three

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

4. Trade _____ Able to Find DBE Contractor? (Y/N) _____
- If yes: DBE participation \$ _____ Percentage _____
- If no, how many DBE's did you contact? _____ If less than 3, why? _____

Attempt One

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Two

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Three

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

5. Trade _____ Able to Find DBE Contractor? (Y/N) _____
- If yes: DBE participation \$ _____ Percentage _____
- If no, how many DBE's did you contact? _____ If less than 3, why? _____

Attempt One

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Two

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Attempt Three

1. Date of Request for Quote: _____
2. Name of DBE Contractor: _____
3. Point of Contact: _____
4. Explanation of why the DBE Contractor could not be used: _____

Additional trades may be added on separate page.

Please attach supporting documents including dates of emails or written request for a quote, "no bid" responses, phone calls etc.

Comments or Additional Efforts in Obtaining DBE Participation:

I certify that the information contained in this good faith effort form is true and correct to the best of my knowledge. I further understand that any willful falsification, fraudulent statement or misrepresentation will result in appropriate sanctions which may involve debarment and/or prosecution under applicable State and Federal laws.

Bidder/Authorized Representative Signature: _____

Title: _____ Date: _____

**DEPARTMENT OF TRANSPORTATION SERVICES
DBE COMMERCIALLY USEFUL FUNCTION (CUF)
PROJECT SITE REVIEW REPORT**

Project No:		Reviewer:	
		Review	
Project Name:			
Project Contractor:			
DBE Subcontractor:			
DBE Foreman/Supt:		DBE Start Date:	
		DBE Completion Date:	
Work Item: (Continue back of form)	Work Item Description	Approx. % Complete As Of This Date	Subcontracted Dollar Amount
REGARDING DBE'S FOREMAN/SUPT.			
Exclusively employed by DBE?	Yes	No	Shown on the DBE payroll?
Shown on any other firm's payroll?	Yes	No	If YES, whose?
Directly reports to:			
REGARDING DBE EMPLOYEES			
Are DBE's employees shown on any other contractor's payroll?			Yes
If yes, where?			No
Do the DBE's employees receive work assignments from DBE foreman?			Yes
			No
REGARDING DBE'S EQUIPMENT			
Does the equipment have the DBE's name or logo?			Yes
If another firm's name or logo is shown, identify:			No
Does the equipment belong to the DBE?			Yes
If leased or rented, is there a copy of the agreement in the project file?			No
REGARDING DBE'S WORK PERFORMANCE			
Has any other contractor performed work that was to be performed by the DBE?			Yes
If yes, identify the contractor who performed the work:			No
What work items did the identified contractor perform? (if more than two, write on the back of form)			
2)			
Were these items on the DBE's subcontract?			Yes
Has the DBE owner been on the job site?			No
Does the DBE appear to have control over their work and employees?			Yes
			No
Comments: (any comments pertaining to the performance or conduct of the DBE company)			
Has DTS' DBELO Civil Rights been notified of any problem(s) identified in this report?			Yes
If no, explain why:			No
Certifying Reviewer's Signature:			

(Rev. 2/3/15)